



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

Arnold Schwarzenegger, Governor

Preston DuFauchoir, California Corporations Commissioner

Dale E. Bonner, Agency Secretary

Release Date: March 13, 2009

CLASSIFICATION: **CORPORATIONS EXAMINER (Will consider Auditor I applications)**
3 Positions – Permanent/Full-Time
Positions may be located in Sacramento, San Francisco, and/or Los Angeles

FINAL FILING DATE: **April 3, 2009 or Until Filled**

SALARY: \$4009-\$5876 per month
(If Auditor I, the salary is \$3106 - \$3966 per month)

POSITION LOCATIONS: Securities Regulation Division, 1515 K Street, Sacramento
Securities Regulation Division, 71 Stevenson Street, San Francisco
Securities Regulation Division, 320 West 4th Street, Los Angeles

DUTIES AND RESPONSIBILITIES: Under the general direction of the Corporation Examiner IV (Supervisor), the Corporation Examiner/Auditor I performs technical and administrative duties to ensure compliance with provisions of the Corporate Securities Law of 1968 and the rules there under. Incumbent conducts field examinations of investment advisers and broker-dealers; conducts enforcement or for cause examinations which target specific problems; investigates complaints made by investors against licensees; and gathers evidence for possible enforcement actions.

DESIRABLE QUALIFICATIONS

- Knowledge of generally accepted accounting principles and generally accepted auditing standards.
- Knowledge of the rules and regulations administered by the Securities Regulation Division.
- Knowledge of auditing procedures, workpaper preparation and report writing.
- Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- Good interpersonal skills and ability to work independently as well as within a team.
- Dependability and the ability to adjust to shifting priorities and meet deadlines.
- Well-developed organizational and research skills including the ability to collect data in the field and via the Internet.
- Ability to review applications and analyze reports, understand and apply rules and regulations, and present ideas and information effectively, both orally and in writing.
- Ability to listen effectively, accurately assess issues and make recommendations about the best possible solution(s).
- Willingness to accept additional responsibilities.
- Willingness to travel and work overtime.

If applying as an Auditor I, please include a copy of your college transcripts demonstrating that you meet the minimum qualifications for an Auditor I as found in the class specifications.

WHO MAY APPLY – Employees currently at the Corporation Examiner or Auditor I level, those within transfer range or have list eligibility who are reachable (in the top three ranks), and employees with surplus or SROA status at the Corporation Examiner or Auditor I level are encouraged to apply. For further technical information regarding the position, please contact Sandra Ramayla at (415) 972-8580.

WHERE TO APPLY – **Please be sure to include RPA # 08-SRDexam under the job title of the State application (Std 678).** Applications without this RPA # may not be considered. Please mail your application and resume to:

Department of Corporations
Attention: Human Resources
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 445-6351
Or

E-mail your application and resume to careers@corp.ca.gov

RPA #08-SRDexam

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.
IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.